

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 245001-2000.2  
 First Inventor Gary KATZ et al.  
 Title **AUTOMATED EXCHANGE FOR TRADING  
OF COMPLEX ORDERS**  
 Express Mail Label No. EV 195879960 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 53]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 24] 1, 2, 3a, 3b, 3c, 3d, 4a, 4b, 5a, 5b, 6, 7, 8, 9, 10a, 10b, 10c, 10d, 11a, 11b, 11c, 12, 13, 14.
5. Oath or Declaration [Total Pages \_\_\_\_]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

Addressed to: Mail Stop Patent Application  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CFR)
  - b. Specification sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (copy from prior application)
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
- ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).  
Applicant must attach from PTO/SB/35 or its equivalent.
17. ☐ Other: .....

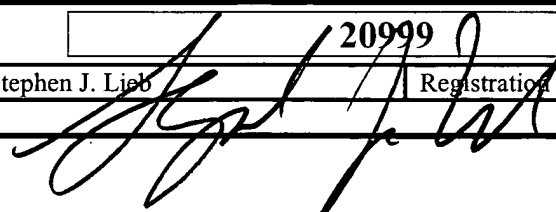
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 10/418,908  
 Prior application information: Examiner: John L. Young Group/Art Unit: 3622

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number 20999 or ☐ Correspondence address below

Name (Print/Type) Stephen J. Lieb Registration No. (Attorney/Agent) 41,943  
 Signature  Date February 3, 2004

14230  
020304

<h1 style="margin:0;">FEE TRANSMITTAL</h1> <h2 style="margin:0;">for FY 2003</h2> <p style="font-size: small; margin-top: 5px;">Effective 01/01/2003. Patent fees are subject to annual revision.</p>		<b>Complete if Known</b>		
		Application Number	Continuation of 10/418,908	
		Filing Date	Herewith	
		First Named Inventor	Gary Katz et al.	
		Examiner Name	John L. Young	
TOTAL AMOUNT OF PAYMENT	(\$)	860.00	Attorney Docket No.	245001-2000.2

<h3 style="text-align: center; margin: 0;">METHOD OF PAYMENT <i>(check all that apply)</i></h3> <p> <input type="checkbox"/> Check            <input type="checkbox"/> Credit Card            <input type="checkbox"/> Money Order            <input type="checkbox"/> Other            <input type="checkbox"/> None       </p> <p> <input checked="" type="checkbox"/> Deposit Account:       </p> <table style="width:100%; border: 1px solid black; margin-top: 5px;"> <tr> <td style="width: 30%;">Deposit Account Number</td> <td style="text-align: center;">50-0320</td> </tr> <tr> <td>Deposit Account Name</td> <td style="text-align: center;">Frommer Lawrence &amp; Haug LLP</td> </tr> </table> <p>The Commissioner is authorized to: <i>(check all that apply)</i></p> <p> <input checked="" type="checkbox"/> Charge fee(s) indicated below            <input checked="" type="checkbox"/> Credit any overpayments       </p> <p> <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application       </p> <p> <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.       </p> <h3 style="text-align: center; margin: 10px 0;">FEE CALCULATION</h3> <h4>1. 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EXTRA CLAIM FEES FOR UTILITY AND REISSUE</h4> <table style="width:100%; border-collapse: collapse;"> <tr> <td>Total Claims</td> <td style="text-align: center;">25</td> <td>-20** =</td> <td style="text-align: center;">5</td> <td>X</td> <td style="text-align: center;">18.00</td> <td>=</td> <td style="text-align: center;">90.00</td> </tr> <tr> <td>Independent Claims</td> <td style="text-align: center;">3</td> <td>-3** =</td> <td style="text-align: center;">0</td> <td>X</td> <td style="text-align: center;">84.00</td> <td>=</td> <td style="text-align: center;">0.00</td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> <td>X</td> <td></td> <td>=</td> <td></td> </tr> </table> <table style="width:100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Code</th> <th>Fee \$</th> <th>Code</th> <th>Fee \$</th> </tr> </thead> <tbody> <tr> <td>1202</td> <td>18</td> <td>2202</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>1201</td> <td>86</td> <td>2201</td> <td>43</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>1203</td> <td>290</td> <td>2203</td> <td>145</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>1204</td> <td>86</td> <td>2204</td> <td>43</td> <td>** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>1205</td> <td>18</td> <td>2205</td> <td>9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td style="text-align: right;"><b>(\$)90.00</b></td> </tr> </tbody> </table>	Deposit Account Number	50-0320	Deposit Account Name	Frommer Lawrence & Haug LLP	Large Entity		Small Entity		Fee Description	Fee Paid	Code	Fee \$	Code	Fee \$	1001	770	2001	385	Utility filing fee	770.00	1002	340	2002	170	Design filing fee		1003	530	2003	265	Plant filing fee		1004	770	2004	385	Reissue filing fee		1005	160	2005	80	Provisional filing fee		<b>SUBTOTAL (1)</b>					<b>(\$)770.00</b>	Total Claims	25	-20** =	5	X	18.00	=	90.00	Independent Claims	3	-3** =	0	X	84.00	=	0.00	Multiple Dependent				X		=		Large Entity		Small Entity		Fee Description	Fee Paid	Code	Fee \$	Code	Fee \$	1202	18	2202	9	Claims in excess of 20		1201	86	2201	43	Independent claims in excess of 3		1203	290	2203	145	Multiple dependent claim, if not paid		1204	86	2204	43	** Reissue independent claims over original patent		1205	18	2205	9	** Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>					<b>(\$)90.00</b>	<h3 style="text-align: center; margin: 0;">FEE CALCULATION (continued)</h3> <h4>3. 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1501	1330	2501	665	Utility issue fee (or reissue)																																																																																																																																																																																																																																																																																																																			
1502	480	2502	240	Design issue fee																																																																																																																																																																																																																																																																																																																			
1503	640	2503	320	Plant issue fee																																																																																																																																																																																																																																																																																																																			
1460	130	1460	130	Petitions to the Commissioner																																																																																																																																																																																																																																																																																																																			
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)																																																																																																																																																																																																																																																																																																																			
1806	180	1806	180	Submission of Information Disclosure Stmt																																																																																																																																																																																																																																																																																																																			
8021	40	8021	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																																																																																																																																			
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																																																																																																																																																			
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																																																																																																																																																			
1801	770	2801	385	Request for continued examination( RCE)																																																																																																																																																																																																																																																																																																																			
1802	900	1802	900	Request for expedited examination of a design application																																																																																																																																																																																																																																																																																																																			
Other fee (specify)																																																																																																																																																																																																																																																																																																																							
<b>SUBTOTAL (3)</b>					<b>(\$0.00)</b>																																																																																																																																																																																																																																																																																																																		

SUBMITTED BY				Complete (if applicable)	
Name (Print/Type)	Stephen J. Lieb	Registration No. (Attorney/Agent)	41,943	Telephone	212-588-0800
Signature		Date	2/3/04		

WARNING: Information on this form may become public. credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggesting or reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

<b>NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor		Gary KATZ
	Title	Automated Exchange for Trading of Complex Orders	
	Attorney Docket Number		245001-2000.2

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

February 3, 2004  
Date

  
Signature

(212) 588-0800  
Telephone number

Stephen J. Lieb  
Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

This collection of information is required by 37 CFR 1.213(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**CERTIFICATE OF MAILING - SEPARATE PAPER - PATENT APPLICATION**

Attorney Docket No. : 245001-2000.2  
Title : AUTOMATED EXCHANGE FOR TRADING  
OF COMPLEX ORDERS  
Filed : Herewith  
Applicants : Gary KATZ et al.

Mailed: **February 3, 2004** via "Express Mail Label # **EV 195879960 US**

I hereby certify that the following papers for the above-referenced application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to:

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Enclosed: Utility Patent Application Transmittal  
Fee Transmittal  
Non Publication Request  
Patent Application (53 pages total, specification pages 1-48,  
claims pages 50-52, abstract, page 53)  
Return receipt postcard

Barnet Shindlman  
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Signature